



Jfw

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: **FUJIWARA, Hideaki**

Group Art Unit: **2822**

Serial No.: **09/899,267**

Examiner: **Keisha L. Rose**

Filed: **July 6, 2001**

Confirmation No.: **3927**

For: **SEMICONDUCTOR MEMORY AND SEMICONDUCTOR DEVICE**

Attorney Docket No.: 010835

Customer Number: 38834

INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 C.F.R. §1.97(c)

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

June 1, 2004

Sir:

The attention of the U.S. Patent and Trademark Office is hereby directed to the documents listed on the attached PTO/SB/08. A copy of each of these documents is enclosed.

This Information Disclosure Statement is being submitted after the issuance of a first official action on the merits and expiration of the three month period following the filing date or the entry in the national stage for the above-captioned application, but prior to the issuance of either a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution in the application.

The undersigned hereby certifies:

☒ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any

individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

An English language translation of the Office Action from the Japanese Patent Office and an English translation of the Abstract of the references filed herein are enclosed to provide the requisite statement of relevance for the attached foreign references.

The above information is presented so that the Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references cited in the attached Form PTO/SB/08 is made of record therein and appear on the first page of any patent to issue therefrom.

The Commission is authorized to charge Deposit Account No. 50-2866 for any fee which is deemed by the Patent and Trademark Office to be required to effect consideration of this statement.

Respectfully Submitted,

WESTERMAN, HATTORI, DANIELS & ADRIAN, LLP

A handwritten signature in black ink, appearing to read 'John P. Kong', with a stylized, flowing script.

John P. Kong
Attorney for Applicant
Registration No.: 40,054

JPK:kal
1250 Connecticut Avenue
Suite 700
Washington, D.C. 20036
(202) 822-1100

Q:\Attorney Files\Kong John\Prosecution\010835\Filings\Information Disclosure Statement - May 2004.doc

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449 PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/899,267 |
| Filing Date | July 6, 2001 |
| First Named Inventor | Hideaki FUJIWARA |
| Art Unit | 2822 |
| Examiner Name | Keisha L. Rose |
| Attorney Docket Number | 010835 |

| | | | |
|-------|---|----|---|
| Sheet | 1 | of | 4 |
|-------|---|----|---|

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|-----------------------|---|--------------------------------|---|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
| | | Country Code ³ *Number ⁴ *Kind Code ⁵ (if known) | | | | |
| | 1 | JP 09-097884 | 04-08-1997 | Toshiba Corp. | | |
| | 2 | JP 11-054639 | 02-26-1999 | NEC Corp. | | |
| | 3 | JP 02-027773 | 01-30-1990 | NEC Corp. | | |
| | 4 | JP 11-087659 | 03-30-1999 | Mitsubishi Elec | | |
| | 5 | JP 59-074666 | 04-27-1984 | Ricoh Co. Ltd. | | |
| | 6 | JP 04-057369 | 02-25-1992 | Toshiba Corp. | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PIO

(Use as many sheets as necessary)

Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/899,267 |
| Filing Date | July 6, 2001 |
| First Named Inventor | Hideaki FUJIWARA |
| Art Unit | 2822 |
| Examiner Name | Keisha L. Rose |
| Attorney Docket Number | 010835 |

| | | | |
|-------|---|----|---|
| Sheet | 2 | of | 4 |
|-------|---|----|---|

[illegible]

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|-----------------------|---|--------------------------------|---|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
| | | Country Code ³ *Number ⁴ *Kind Code ⁵ (if known) | | | | |
| | 7 | JP 11-134886 | 05-21-1999 | Sharp Corp. | | |
| | 8 | JP 06-028878 | 02-04-1994 | Toshiba Corp. | | |
| | 9 | JP 10-163435 | 06-19-1998 | Mitsubishi Elec | | |
| | 10 | JP 53-060582 | 05-31-1978 | Hitachi, Ltd. | | |
| | 11 | JP 05-347419 | 12-27-1993 | Hitachi, Ltd. | | |
| | 12 | JP 05-234381 | 09-10-1993 | Sony Corp. | | |

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

to a collection of information unless it contains a valid OMB control number.

Substitute for form 7949/PTO

(Use as many sheets as necessary)

| | |
|-------|---|
| Sheet | 3 |
|-------|---|

of 4

| | |
|------------------------|------------------|
| Application Number | 09/899,267 |
| Filing Date | July 6, 2001 |
| First Named Inventor | Hideaki FUJIWARA |
| Art Unit | 2822 |
| Examiner Name | Keisha L. Rose |
| Attorney Docket Number | 010835 |

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

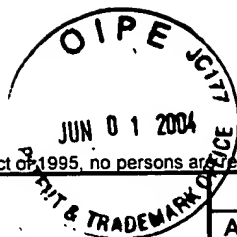
| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|-----------------------|---|------------------|---|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
| | | Country Code ³ *Number ⁴ *Kind Code ⁵ (if known) | MM-DD-YYYY | | | |
| | 13 | JP 08-036889 | 02-06-1996 | Matsushita Elec | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

| | |
|------------------------|------------------|
| Application Number | 09/899,267 |
| Filing Date | July 6, 2001 |
| First Named Inventor | Hideaki FUJIWARA |
| Art Unit | 2822 |
| Examiner Name | Keisha L. Rose |
| Attorney Docket Number | 010835 |

Sheet

4

of

4

NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|-----------------------|--------------------------|---|----------------|
| | 14 | Communication from the Japanese Patent Office in application no. 2000-209196 dated May 19, 2004 and English language translation | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.